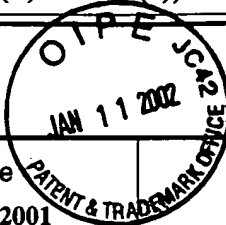


TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT
(Under 37 CFR 1.97(b) or 1.97(c))

Docket No.
42059-01350

In Re Application Of: **PHILLIPS et al**

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Serial No.
Not Yet Assigned

Filing Date
November 1, 2001

Examiner
Not Yet Assigned

Group Art Unit
Not Yet Assigned

Title: **"HYBRID FIBER COAX COMMUNICATION SYSTEM"**

Address to:
Assistant Commissioner for Patents
Washington, D.C. 20231

37 CFR 1.97(b)

1. ☒ The Information Disclosure Statement submitted herewith is being filed within three months of the filing of a national application; within three months of the date of entry of the national stage as set forth in 37 CFR 1.491 in an international application; or before the mailing date of a first Office Action on the merits, whichever event occurs last.

37 CFR 1.97(c)

2. ☐ The Information Disclosure Statement submitted herewith is being filed after three months of the filing of a national application, or the date of entry of the national stage as set forth in 37 CFR 1.491 in an international application; or after the mailing date of a first Office Action on the merits, whichever occurred last but before the mailing date of either:

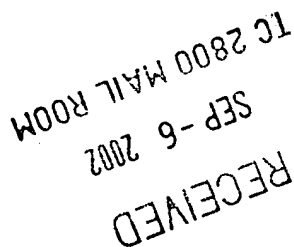
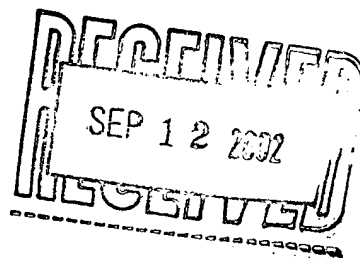
1. a Final Action under 37 CFR 1.113, or
 2. a Notice of Allowance under 37 CFR 1.311,
- whichever occurs first.

Also submitted herewith is:

- ☐ a certification as specified in 37 CFR 1.97(e);

OR

- ☐ the fee set forth in 37 CFR 1.17(p) for submission of an Information Disclosure Statement under 37 CFR 1.97(c).

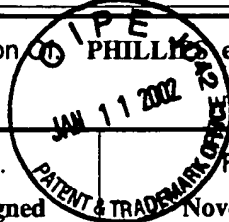


TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT
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Title: "HYBRID FIBER COAX COMMUNICATION SYSTEM"

Payment of Fee

(Only complete if Applicant elects to pay the fee set forth in 37 CFR 1.17(p))

- ☐ A check in the amount of _____ is attached.
- ☐ The Assistant Commissioner is hereby authorized to charge and credit Deposit Account No. _____ as described below. A duplicate copy of this sheet is enclosed.
- ☐ Charge the amount of _____
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I certify that this document and authorization to charge deposit account is being facsimile transmitted to the United States Patent and Trademark Office (Fax. No. _____) on _____

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I certify that this document and fee is being deposited on Nov. 28, 2001 with the U.S. Postal Service as first class mail under 37 C.F.R. 1.8 and is addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231.

Signature of Person Mailing Correspondence

Bobbie D. Simon

Typed or Printed Name of Person Mailing Correspondence

*This certificate may only be used if paying by deposit account.

Signature

Dated: November 28, 2001

Travis C. Stephenson, Esq.
Registration No. 45,132
3151 South Vaughn Way, Suite 411
Aurora, Colorado 80014
(720)562-5500

CC:

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TC 2800 MAIL ROOM



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#2
28749-1302

FEB 21 2002
IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re the Application of:

TC 2800 MAIL ROOM

Group Art Unit: Not Yet Assigned

PHILLIPS et al

Examiner: Not Yet Assigned

Serial No.: Not Yet Assigned

10/004,465

INFORMATION DISCLOSURE STATEMENT

Filed: November 1, 2001

Confirmation No.:

Atty. File No.: 42059-1350

For: "HYBRID FIBER COAX
COMMUNICATION SYSTEM"

CERTIFICATE OF MAILING	
I HEREBY CERTIFY THAT THIS CORRESPONDENCE IS BEING DEPOSITED WITH THE UNITED STATES POSTAL SERVICE AS FIRST CLASS MAIL IN AN ENVELOPE ADDRESSED TO ASSISTANT COMMISSIONER FOR PATENTS, WASHINGTON, DC 20231 ON <u>November 28, 2001</u>	
MARSH FISCHMANN & BREYFOGLE LLP	
BY:	<u>Booby D. Simon</u>

Assistant Commissioner for Patents
Washington, D.C. 20231

Dear Sir:

Pursuant to Applicant's duty of disclosure under 37 CFR § 1.56 and 37 CFR § 1.56(b), Applicant hereby provides a copy of each of the documents identified on the enclosed PTO Form 1449, although Applicant does not admit that any of such documents, alone or in any combination, is considered to be material to patentability as defined in 37 CFR § 1.56(b). Moreover, the inclusion of these documents is not to be construed as an admission by Applicant that each such document is prior art as to the above-identified application.

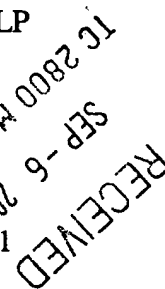
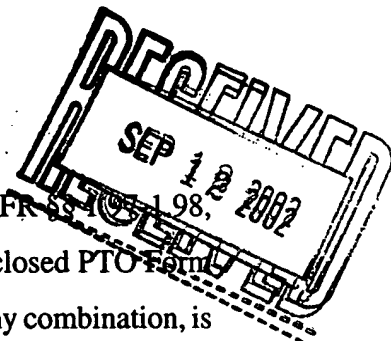
Respectfully submitted,

MARSH FISCHMANN & BREYFOGLE LLP

By:

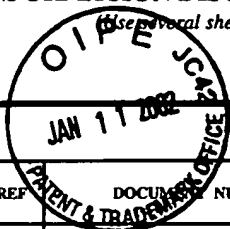
Travis C. Stephenson
Travis C. Stephenson, Esq.
Registration No. 45,132
3151 South Vaughn Way, Suite 411
Aurora, Colorado 80014
(720)562-5500

Date: November 28, 2001



INFORMATION DISCLOSURE CITATION

(Use additional sheets if necessary)



Docket Number (Optional)

42059-01350

Application Number

Not Yet Assigned

Applicant(s)

PHILLIPS et al

Filing Date

November 1, 2001

Group Art Unit

Not Yet Assigned

U.S. PATENT DOCUMENTS

*EXAMINER INITIAL	REF	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
		US 5,854,703	12/29/1998	WEST, JR.	359	167	
		US 6,084,876	07/04/2000	KWOK et al	370	379	
		US 6,161,011	12/12/2000	LOVELESS	455	426	

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FOREIGN PATENT DOCUMENTS

	REF	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	Translation	
							YES	NO

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

		Copy of Scientific Atlanta document entitled "Hybrid/Fiber Coax (HFC) and Dense Wavelength Division Multiplexing (DWDM) Networks" taken from Web ProForum Tutorials: http://www.iec.org (Copyright The International Engineering Consortium)

EXAMINER

DATE CONSIDERED

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP Section 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.